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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of:)
Paul H. ROBB) Examiner: Unknown
Serial No.: Not Assigned) Group Art Unit: Not Assigned
Filed: December 8, 2000)

1531 U.S. PTO
09/732008
12/08/00

For: METHOD AND SYSTEM FOR COLLABORATING ADVISORS

Assistant Commissioner for Patents
Washington, D.C. 20231

Sir:

PETITION UNDER 37 C.F.R. § 1.102

This is a Petition under 37 C.F.R. 1.102 for accelerated examination of the above-referenced application. The application above is a regular utility application filed December 8, 2000. The petition fee under 37 C.F.R. § 1.17(i) is to be charged to Deposit Account No. 50-0206. The Commissioner is authorized to charge any further fees or credit any overpayments to Deposit Account No. 50-0206.

This petition to make special is being made under MPEP 708.02 (VIII). In accordance with that section, Applicant hereby requests and submits:

- A. The present Petition To Make Special with fee.
- B. A set of claims (claims 1 - 38) directed to a single invention, as presented in the utility application filed herewith.

C. Applicant has caused a pre-examination patentability search to be made.

Applicant commissioned a patentability search on November 12, 1999 in the following fields of search:

Class	Subclass
705	4, 26, 27, 35, 36, 38

D. An Information Disclosure Statement is being filed herewith that contains a copy of each reference identified as a result of the pre-examination search.

E. The independent claims of the application are:

1. A method for providing a collaboration tool with which a client and one or more participants may interact comprising the steps of:

- a) enabling a client to authorize one or more participants to access client data;
- b) enabling the client to submit client data to the collaboration tool;
- c) enabling the client to submit one or more requests for one or more services to the collaboration tool; and
- d) enabling the client to interact with one or more participants through the collaboration tool wherein the collaboration tool further enables interaction among participants wherein interaction comprises exchange of client data.

11. A method for providing a collaboration tool with which one or more participants may collaborate with each other comprising the steps of:

- a) enabling the one or more participants to receive authorization by a client to access client data;
- b) enabling the one or more participants to access the collaboration tool where the collaboration tool enables the client to interact with one or more participants and enables the participants to interact with each other wherein client data is exchanged; and
- c) enabling the one or more participants to access client data, as authorized by the client.

20. A system for providing a collaboration tool with which a client and one or more participants may interact comprising:

- a) authorization means for enabling a client to authorize one or more participants to access client data;
- b) data means for enabling the client to submit client data to the collaboration tool;
- c) request means for enabling the client to submit one or more requests for one or more services to the collaboration tool; and
- d) interaction means for enabling the client to interact with one or more participants through the collaboration tool wherein the collaboration tool further enables interaction among participants wherein interaction comprises exchange of client data.

30. A system for providing a collaboration tool with which one or more participants may collaborate with each other comprising:

- a) authorization means for enabling the one or more participants to receive authorization by a client to access client data;
- b) access means for enabling the one or more participants to access the collaboration tool where the collaboration tool enables the client to interact with one or more participants and enables the participants to interact with each other wherein client data is exchanged; and
- c) data means for enabling the one or more participants to access client data, as authorized by the client.

F. Applicants submit a detailed discussion of the references from the search report as follows:

1. U.S. Patent No. 5,918,217

U.S. Patent No. 5,918, 217 appears to disclose a user interface for a financial advisory system where a user may interactively explore how changes in input decisions affect output values, such as projected future earnings. Other recommendations based on output values may be provided. U.S. Patent No. 5,918,217 does not disclose at least a collaboration tool “enabling the client to interact with one or more participants through the collaboration tool wherein the collaboration tool further enables interaction among participants wherein interaction comprises exchange of client data”.

2. U.S. Patent No. 5,231,571

U.S. Patent No. 5, 231,571 appears to disclose a personal financial assistant computer method where each computer terminal stores financial information for financial services sold at the terminal with one-on-one conversations between a representative and a customer over a telephone line. U.S. Patent No. 5, 231, 571 does not disclose at least a collaboration tool “enabling the client to interact with one or more participants through the collaboration tool wherein the collaboration tool further enables interaction among participants wherein interaction comprises exchange of client data”.

3. U.S. Patent No. 5,606,496

U.S. Patent No. 5,606,496 appears to disclose a personal financial assistant computer system including customer terminals at financial institutions and other locations where the display of information at a customer terminal is controlled by a representative in response to one-on-one conversations between the representative and the customer. U.S. Patent No. 5,606,496 does not disclose at least a collaboration tool “enabling the client to interact with one or more participants through the collaboration tool wherein the collaboration tool further enables interaction among participants wherein interaction comprises exchange of client data”.

4. U.S. Patent No. 5,006,998

U.S. Patent No. 5,006,998 appears to disclose a consultation system which stores client intentions, processing information, status information where a client may seek advice and expert opinions as the client desires. U.S. Patent No. 5,006,998 does not disclose at least a collaboration tool “enabling the client to interact with one or more participants through the collaboration tool wherein the collaboration tool further enables interaction among participants wherein interaction comprises exchange of client data”.

5. U.S. Patent No. 5,890,129

U.S. Patent No. 5,890,129 appears to disclose an information exchange system for controlling the exchange of business and clinical information between an insurer and multiple health care providers where the system includes an information exchange computer that is connected over a local area network. U.S. Patent No. 5,890,129 does not disclose at least a collaboration tool “enabling a client to authorize one or more participants to access client data” and “enabling the client to interact with one or more participants through the collaboration tool wherein the collaboration tool further enables interaction among participants wherein interaction comprises exchange of client data”.

6. U.S. Patent No. 5,819,230

U.S. Patent No. 5,819,230 appears to disclose a system and method for tracking and funding asset purchase and insurance policy where the system includes

computer subsystem of licensed agents where each of the computer subsystems includes communication apparatus and software for sending communications to and receiving communications from other ones of the computer subsystems. U.S. Patent No. 5,819,230 does not disclose at least a collaboration tool “enabling a client to authorize one or more participants to access client data” and “enabling the client to interact with one or more participants through the collaboration tool wherein the collaboration tool further enables interaction among participants wherein interaction comprises exchange of client data”.

7. U.S. Patent No. 5,873,071

U.S. Patent No. 5,873,071 appears to disclose a computer method and system for intermediated exchange of commodities where software processes are distributed on one or more computer systems that exchange messages in order to facilitate exchange of financial commodities between a plurality of participants. U.S. Patent No. 5,873,071 does not disclose at least a collaboration tool “enabling a client to authorize one or more participants to access client data” and “enabling the client to interact with one or more participants through the collaboration tool wherein the collaboration tool further enables interaction among participants wherein interaction comprises exchange of client data”.

8. U.S. Patent No. 5,745,706

U.S. Patent No. 5,745,706 appears to disclose a computer system for spending and investment account management to achieve selected guidelines for spending flexibility and investment returns. U.S. Patent No. 5,745,706 does not disclose at least a collaboration tool “enabling the client to interact with one or more participants through the collaboration tool wherein the collaboration tool further enables interaction among participants wherein interaction comprises exchange of client data”.

9. U.S. Patent No. 5,913,202

U.S. Patent No. 5,913,202 appears to disclose a financial information intermediary system for extracting the most suitable product information from a wide variety of financial product information supplied by various financial institutions so that a client may obtain the desired products. U.S. Patent No. 5,913,202 does not disclose at least a collaboration tool “enabling the client to interact with one or more participants through the collaboration tool wherein the collaboration tool further enables interaction among participants wherein interaction comprises exchange of client data”.

10. U.S. Patent No. 4,694,397

U.S. Patent No. 4,694,397 appears to disclose a system having a number of brokerage offices wherein the system provides automatic transaction processing within and between banking and brokerage systems created in response to client

transaction activity. U.S. Patent No. 4,694,397 does not disclose at least a collaboration tool “enabling the client to interact with one or more participants through the collaboration tool wherein the collaboration tool further enables interaction among participants wherein interaction comprises exchange of client data”.

11. U.S. Patent No. 4,742,457

U.S. Patent No. 4,742,457 appears to disclose a system and method for investment management providing data processing, supervising and balancing depositors, marketing agents, financial intermediaries and other entities. U.S. Patent No. 4,742,457 does not disclose at least a collaboration tool “enabling the client to interact with one or more participants through the collaboration tool wherein the collaboration tool further enables interaction among participants wherein interaction comprises exchange of client data”.

12. U.S. Patent No. 5,710,889

U.S. Patent No. 5,710,889 appears to disclose an interface device for electronically integrating global financial services where a customer connects to the system where interfacing occurs between the customer and each service provider. U.S. Patent No. 5,710,889 does not disclose at least a collaboration tool “enabling the client to interact with one or more participants through the

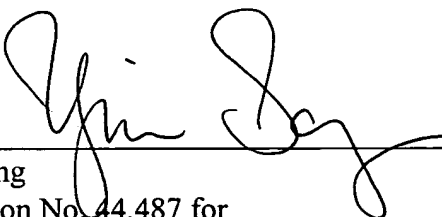
collaboration tool wherein the collaboration tool further enables interaction
among participants wherein interaction comprises exchange of client data”.

CONCLUSION

On the basis of the foregoing, the Applicants respectfully requests the granting of this petition to make special so that the application will be taken up promptly, and respectfully solicit favorable examination at that time.

Respectfully submitted,

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